TO: Office of the Governor

FROM: Gene Shoda, VP Operations

DATE: January 16, 2016

RE: Directive to increase accountability of state IT systems

Outlined below you will find Central Washington University's response in regards to the three directives Governor Inslee is requiring of all state agencies.

1. **Inventory of critical IT systems:**
   Accounts Payable
   General Ledger
   Purchasing
   Asset Management
   Human Resources
   Benefits
   Payroll
   Budget
   Student Records
   Academic Progress
   Admissions
   Financial Aid
   Student Financial Services

   Assumption – Mission critical systems are those that are essential to the survival of a business or organization. These systems require continuous availability. Breaks in service are intolerable and immediately and significantly damaging.

2. **Incident response/development lifecycle:**

   Central Washington University's Information Services (IS) department uses ITIL (Information Technology Infrastructure Library) methodology and framework to ensure all reported incidents are reviewed, prioritized, and categorized appropriately. Below outlines the process followed when an issue is identified:

   1. If an incident is escalated to a problem, the Enterprise Application Teams is assigned the ticket and conducts root cause analysis of the issue.
   2. After root cause analysis is done, the problem is either fixed internally or through a service request from our vendor Oracle. Oracle delivers all federal and state mandated regulation updates.

3. After a fix for the problem is appropriately tested and proves to resolve the issue, a request for change is submitted to the Enterprise Applications change advisory board (CAB).
4. After approval from the CAB, the change is released into production during Wednesday night normal migrations. If an emergency change is requested and approved, the change will be migrated promptly.

3. **Single business owner:**

Central Washington University has university policy and procedures in place that provide structure, accountability, and ownership of critical business systems. Central Washington University Policy **CWUP 2-70-010 Information Security and Privacy Roles and Responsibilities,** defines the governance framework for system ownership.

URL - http://www.cwu.edu/resources-reports/cwup-2-70-010-information-security-and-privacy-roles-and-responsibilities

(B) Data Owners

Data owners are cabinet level employees, with overall responsibility for the business results or the business use of the data within their delegations of authority (e.g. the Chief Financial Officer, Provost, or Vice President of Operations). The responsibilities of the data owners include:

• Overall responsibility and accountability for the data within their subject area domains; and
• Recommend policies, standards and guidelines regarding information security and privacy, business definitions of information, and the access and usage of that information, within their delegations of authority.

(C) Appointing Authorities

Appointing Authorities are assistant vice presidents, associate provosts, deans, executive directors and other individuals with delegated authority for an organizational area as provided in CWUP 2-10-170 Appointing Authority and Delegation of Authority. These individuals, or their designee(s), have the following information security and privacy responsibilities:

• As needed, develop, recommend, implement, and maintain policies, standards, or guidelines that are consistent with the University policies on information security and privacy, within the organizational area(s) for which they are responsible;
• Be accountable for risks, compliance obligations, and financial costs associated with University information security and privacy, including information security and privacy incidents and information security breaches, within the organizational area(s) for which they are responsible; and
• Follow the recommendations of the Chief Information Security Officer or designee, in

connection with an information security and privacy incident investigation, and direct others to do so.

(D) Data Stewards

Data stewards are designated by and responsible to the appointing authority or designee (such as payroll, accounts payable, purchasing, or human resources business leads). Data stewards have knowledge of and work in accordance with numerous federal, state, and University rules and policies, including University policies on information security and privacy. The data steward role focuses on managing data content and the business logic behind all data transformations. The responsibilities of data stewards include:

• Help define, interpret, implement, and enforce federal, state, and University policies, standards, and guidelines for institutional information within their purview;
• Identify systems of record containing institutional information;
• Categorize institutional information within systems of record as public, restricted, or confidential, as defined in CWUP 2-70-020 Data Classification and Usage policy;
• Define usage and quality standards and guidelines for institutional information within their purview; and
• Must develop and implement formal and auditable data access processes for institutional data under their stewardship.

(E) Data Custodians

Data custodians report to the Chief Information Officer or Executive Director of Organizational Effectiveness, or their designee(s). The data custodians are responsible for the safe custody, transport, and storage of institutional data. The responsibilities of the data custodians include:

• Support and manage the day-to-day confidentiality, integrity, and availability of the information systems for which they are responsible;
• Documenting and disseminating administrative and operational procedures to ensure consistent storage, processing and transmission of data;
• Making and being accountable for operational decisions about the use and management of an information systems in accordance with established business rules and policies; and
• Maintains critical information system documentation.

(F) Data User

Data users are faculty, student employees, staff or third party vendors. Data users shall consult with and follow the applicable laws, regulations, and University rules, policies, standards and guidelines. Data users shall only access and use University information systems and institutional information to fulfill authorized job duties or activities for the University and in compliance with the Acceptable Use Policy.

Any agreements to provide a third party access to or use of institutional information shall ensure that such agreement is approved through the appropriate department.

In addition to university policy, Information Services maintains a governance matrix that details who the business owners are. An example is provided below.

Governance Framework

Central Washington University																	
President James Gaudino																	

	Financials				HR & Budget				SA					IS		SEC	Student Success	
Data Owner	George Clark				Stevan DeSoer/Gene Shoda		George Clark		Stephen Hulbert		George Clark			Stevan DeSoer/Gene Shoda			Stephen Hulbert	
Appointing Authority	Joel Klucking				Staci Sleigh-Layman		Joel Klucking	Adrian Naranjo	Anne Cubilie		John Swiney	Joel Klucking		Gene Shoda			Sarah Swager	AUDIT
Module	AP	GL	AM	PO	HR	BN	PY	BD	SR	AP	AD	FA	SF	NO	PT	SEC	STS	
Data Steward	Anna Fischer	Chris Huss	Kelly Minor	Stuart Thompson	Sue Noce	Traci Klein	Cindy Rickey	Karen Hamel	Lindsey Brown		Kathy Gaer Carlton	Kelley Christianson		Greg Harvill	Jill Hernandez	Jamie Schademan	Richard DeShields	
INFORMATION & SECURITY SERVICES																		OPS
Data Custodian/Analysis	Tim McGuire				Lynn Hutchins			Lindsey Ulrich	Lidia Anderson	Nicole Burk	Debbie Hunt	Jared Jakeman	Charles Velasquez	Chris Timmers	Susan Haberman	Matt Downsworth	Marion Andrin	

Modules Codes:					
Financials:	**Human Resources & Budget:**	**Student Administration:**	**IS:**	**Security:**	**Student Success**
AP - Accounts Payable	HR - Human Resources	SR - Student Records	PT - People Tools	SEC - Security	STS - Student Success
GL - General Ledger	BN - Benefits	AP - Academic Progress	NO - Networks and Operations		
AM - Asset Management	PY - Payroll	AD - Admissions			
PO - Purchasing	BD - Budget/CatPlan	FA - Financial Aid			
		SF - Student Financial Services			

Please let us know if you would like additional information on the information provided above or have further questions.

Critical System Governance Attestation

College Name: Central Washington University
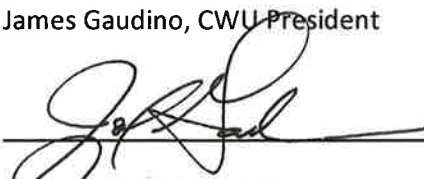
Name of College Contact: Gene Shoda

College Contact Phone Number: 509-963-2777

Name of Critical System	Name and Title of Business Sponsor	Have known problems been reviewed to ensure appropriate priority and accountability?	Have pending enhancement requests been reviewed to ensure appropriate priority and accountability?
Accounts Payable	Joel Klucking AVP Finance and Business Auxiliaries	Yes	Yes
General Ledger		Yes	Yes
Asset Management		Yes	Yes
Purchasing		Yes	Yes
Human Resources	Staci Sleigh-Layman Ex Dir Human Resources	Yes	Yes
Benefits		Yes	Yes
Payroll	Joel Klucking AVP Finance and Business Auxiliaries	Yes	Yes
Budget		Yes	Yes
Student Records	Anne Cubilie Associate Provost	Yes	Yes
Academic Progress		Yes	Yes
Admissions	John Swiney AVP Enrollment Management	Yes	Yes
Financial Aid	Joel Klucking AVP Finance and Business Auxiliaries	Yes	Yes
Student Financial Services		Yes	Yes

Name of College President: James Gaudino, CWU President

Signature of College President:

Date: Jan 21, 2016